

## ATTACHMENT J.1.2

### STATEMENT OF WORK

#### LARGE PELAGIC TELEPHONE SURVEY (LPTS)

<b>1. BACKGROUND .....</b>	<b>3</b>
<b>2. GENERAL REQUIREMENTS.....</b>	<b>4</b>
<b>3. GEOGRAPHIC AND TEMPORAL SCOPE.....</b>	<b>4</b>
<b>4. PRIVATE LPTS SAMPLING DESIGN.....</b>	<b>5</b>
4.1. PRIVATE BOAT DIRECTORIES AND SAMPLE FRAMES .....	5
<b>5. LPTS ADD-ON SAMPLING DESIGN.....</b>	<b>6</b>
5.1 FOR-HIRE DIRECTORIES AND SAMPLE FRAMES .....	6
5.2 LPTS ADD-ON SAMPLE ALLOCATION .....	6
<b>6. DATA COLLECTION DESIGN.....</b>	<b>6</b>
6.1 DATA COLLECTION PROCEDURES .....	6
6.1.1 <i>Vessel Notification</i> .....	7
6.1.2 <i>Dialing Procedures</i> .....	7
6.1.3 <i>Alternate Reporting Options</i> .....	7
6.2 SURVEY INSTRUMENT .....	7
6.3 DATA COLLECTION STAFF .....	8
6.4 LPTS INTERVIEWER TRAINING AND SUPERVISION .....	8
<b>7. LPTS DATA PREPARATION.....</b>	<b>8</b>
7.1 DATA ENTRY .....	8
7.2 DATABASES AND RECORD FORMATS .....	8
7.3 DATA EDITING .....	8
<b>8. REPORTING REQUIREMENTS .....</b>	<b>9</b>
8.1 DELIVERY OF DATASETS.....	9
8.2 WAVE REPORTS .....	9
8.3 ANNUAL REPORT .....	10
<b>TABLES.....</b>	<b>12</b>
TABLE 1. PRIVATE LPTS SAMPLE PERIODS .....	13
TABLE 2. PRIVATE LPTS ESTIMATED SAMPLE SIZES.....	14
TABLE 3. LPTS ADD-ON ESTIMATED SAMPLE SIZES .....	15

## 1. Background

Since 1992, the National Marine Fisheries Service (NOAA Fisheries) has conducted the Large Pelagic Survey (LPS) to collect fishing effort and catch data for the hand-gear fishery directed at "large pelagic species" (e.g., tunas, billfishes, swordfish, sharks, wahoo, dolphins, and amberjacks ) in the offshore marine waters of the Northeast Region (Maine through Virginia). Because large pelagic species are only sought on a relatively small proportion of the total marine recreational angler fishing trips made in the Northeast Region each year, the fishing effort directed at such species, and the resulting angler catches are generally not estimated very precisely by the Agency's Marine Recreational Fishery Statistics Survey (MRFSS). Therefore, the LPS was designed as a specialized survey that would focus specifically on the recreational handgear fishery directed at large pelagic species. This specialization has allowed higher levels of sampling needed to provide more precise estimates of pelagic fishing effort and catches of large pelagic species.

The LPS includes two independent, yet complementary surveys, which provide the effort and mean catch-per-unit-effort estimates needed to estimate total catch by species. The Large Pelagic Intercept Survey (LPIS) has traditionally been a survey of fishing access sites, designed to intercept returning boats and collect data on catch by boats that have just completed fishing trips directed at large pelagic species. The data collected by the LPIS is used to estimate mean catch per "large pelagic" boat trip by species. The Large Pelagic Telephone Survey (LPTS) has traditionally been a telephone survey of boats with NOAA Fisheries permits to fish for either "highly migratory species" (HMS) or "Atlantic tunas" (AT). The LPTS has been conducted as a weekly or biweekly survey of boats in which interviews with boat operators are used to collect fishing effort information. LPTS data are used to estimate the total number of boat trips on which anglers fished with rod and reel or handline for large pelagic species. LPTS estimates of fishing trips are combined with LPIS estimates of mean catch per trip to produce estimates of total catch by species and/or market category.

The LPTS has traditionally been stratified by either boat type or permit category. In recent years, boats for which the "charter/headboat" HMS permit was obtained have been covered as one stratum, and boats for which either a "general" or "angling" category "Atlantic Tunas" (AT) permit was obtained have been covered as a second "private boat" stratum. Recently, the charter/headboat stratum of boats has been covered by a weekly survey, and the private boat stratum has been covered by a biweekly survey. Any boats in the charter/headboat stratum that are used primarily as headboats are either excluded from sampling or screened out during interviews. Therefore, the Charter/Headboat LPTS is a survey of charter boat fishing for HMS. The Private Boat LPTS covers both commercial fishing by vessels with general category HMS permits, and true recreational fishing by vessels with angler category HMS permits.

## **2. General Requirements**

This Statement of Work describes the technical requirements for conduct of the 2005-2007 LPTS in the Northeast Region. The 2005-2007 LPTS consists of two components; a survey of vessels with angling and general category HMS permits (Private LPTS), and an independent survey of vessels with charter/headboat category HMS permits (LPTS Add-on). The LPTS Add-on will be conducted as part of the For-Hire Survey (FHS), while the Private LPTS shall be conducted as an independent, biweekly survey of General and Angling Category HMS permitted boats.

The contractor shall be responsible for completing all tasks for the Private LPTS and LPTS Add-on, including collection of data, data entry, editing of data, quality assurance of survey operations, and quality control of the data. The Contractor shall also be responsible for documenting and delivering all required databases and programs developed for data entry and data processing. All tasks conducted under this contract shall be coordinated with NOAA Fisheries. Any decisions regarding re-allocation of sampling effort, modifications to procedures, or replacing key personnel shall only be made after the Contractor consults with and receives approval from the NOAA Fisheries. All telephone questionnaires must be approved by the NOAA Fisheries. All manuals, training documents, and computer programs developed to fulfill the objectives of the contract line items become the property of NOAA Fisheries.

Estimated weekly and biweekly sample sizes shall be used by the contractor to develop separate per-unit pricing proposals for the LPTS Add-on and Private LPTS. NOAA Fisheries anticipates that these quantities will be similar to the actual quantities that will be ordered. However, NOAA Fisheries reserves the right to order quantities that differ from the estimated quantities. Also, NOAA Fisheries reserves the right to redistribute the quantities ordered among states and weeks. The methodology, specifications, and requirements described in this statement of work shall be used to develop per-unit pricing proposals.

## **3. Geographic and Temporal Scope**

The LPTS will be conducted in the Northeast Region (Maine through Virginia) during a 22-week period from June through November. For the Private LPTS, states will be grouped into the following strata:

- Virginia
- Maryland
- Delaware
- New Jersey
- New York
- Connecticut/Rhode Island

Massachusetts  
Maine/New Hampshire.

For the LPTS Add-on, each state will be considered a separate stratum, as in the FHS.

#### **4. Private LPTS Sampling Design**

##### **4.1. Private Boat Directories and Sample Frames**

The sample frame for the Private LPTS is constructed from a comprehensive directory of vessels with angling and general category HMS permits. Prior to sample selection for each wave, NOAA Fisheries will deliver to the contractor the most recent directory of permitted vessels. The contractor shall be responsible for reviewing and editing the directory to remove duplicate vessels, as well as updating all records with the most current information (See FHS SOW, Section 3.1, Sample Frame). NOAA Fisheries can supply a sample permit directory upon request.

To be included in the sample frame, a vessel must have complete contact information, including a telephone number, the name of a vessel representative, the state in which the vessel normally operates, and a vessel identifier (vessel name or number). Vessels that do not meet these criteria remain in the vessel directory, but are coded as ineligible. The contractor shall be responsible for delivering the sample to NOAA Fisheries at least three weeks prior to the start of each wave.

##### **4.2 Private LPTS Sample Allocation**

Private LPTS sampling is stratified by state (or group of states) and two-week sampling period. For consistency with other sampling programs, as well as administrative purposes, sampling periods are divided among two-month waves (the June wave consists of a single month). The eleven two-week sample periods and corresponding waves for each year of the contract are shown in Table 1.

Prior to the start of each wave, the contractor shall draw sample for each stratum within a wave using the most recent version of the Private LPTS sample frame. After the samples have been drawn for each stratum within a wave, vessels may not be substituted, added, or dropped from the samples or the sampling frames. Sample draw files and sample frames shall be delivered to NOAA Fisheries, as well as to the contractor responsible for conduct of the LPIS, at least three weeks prior to the start of each wave. In addition, the contractor shall produce and deliver a list of ineligible vessels from the vessel directory, including a flag indicating the reason the vessel is ineligible.

Estimated sample sizes for each stratum are shown in Table 2. These sample sizes are

provisional and subject to change. NOAA Fisheries will provide delivery orders with actual sample sizes at least one month prior to the start of each wave.

## **5. LPTS Add-on Sampling Design**

### **5.1 For-Hire Directories and Sample Frames**

The LPTS Add-on is conducted as part of the FHS. Therefore, all vessels with a charter/headboat category HMS permit shall be included in the FHS vessel directory. Prior to the beginning of each wave, NOAA Fisheries will supply a database of all vessels with a charter/headboat category permit to the Contractor. The Contractor shall be responsible for incorporating this list into the FHS vessel directory. This shall include updating existing vessel directory records with HMS permit information, as well as adding new vessels to the FHS database. The Contractor shall be responsible for ensuring that existing vessel records are not duplicated as a result of permit updates.

The procedures for developing and delivering the sample frame and sample draw files are provided for in the Statement of Work for the 2005-2007 For-Hire Survey, and are incorporated in this Statement of Work by reference.

### **5.2 LPTS Add-on Sample Allocation**

The sample sizes and sampling methods for the LPS Add-on will be determined through the methodology described in the Statement of Work For-Hire Survey, and are incorporated in this document by reference. Estimated sample sizes for 2005-2007 are shown in Table 3. Prior to drawing a sample of boats for a given sampling week, the FHS sample frame shall be sorted by permit status. The sample of boats shall then be selected by systematic sampling of the sorted list. This will ensure representative sampling of HMS and non-HMS boats for each week of the FHS.

## **6. Data Collection Design**

### **6.1 Data Collection Procedures**

Telephone interviewing shall be conducted by the contractor according to the schedules and sample sizes provided by the NOAA Fisheries in the delivery orders. For the Private LPTS, interviewing for each two-week reporting period shall be conducted during a 7-day period (from Monday through Sunday) immediately following that two-week period. For the LPTS Add-on, interviewing shall be conducted according to the specifications described in the Statement of Work for the 2005-2007 For-Hire Survey.

All interviewing should be done through a Computer Assisted Telephone Interviewing (CATI) system. The contractor is responsible for purchasing and maintaining their own

CATI system software and hardware (not included in the cost of this contract). The contractor is responsible for adapting the questionnaire to work on their systems. The contractor shall be responsible for maintaining the computer programs necessary for accurate CATI data collection throughout the contract period, and for modifications to the programs when there are changes made in the questionnaire.

#### **6.1.1 Vessel Notification**

As in the FHS, the contractor shall mail notification letters to representatives of vessels that have been selected for the survey. For the Private LPTS, the contractor shall mail a letter informing each vessel representative that he/she has been selected for participation in the LPTS for a particular week of fishing. The letter shall include the dates for which the vessel has been selected to report, as well as the date(s) when calling will be attempted. The notification package shall also include a logsheet that the respondent can use to record the selected vessel's fishing activity. A sample notification letter and logsheet are included as Appendices G and K, respectively.

Procedures for sending advanced notification letters to representatives of for-hire vessels are included in the Statement of Work for the 2005-2007 For-Hire Survey, and are included in this Statement of Work by reference. The contractor shall include an additional LPTS letter and logsheet in notification packages sent to FHS vessels with charter/headboat category HMS permits.

#### **6.1.2 Dialing Procedures**

Dialing protocols are described in the Statement of Work for the 2005-2007 For-Hire Survey, are included in this Statement of Work by reference.

#### **6.1.3 Alternate Reporting Options**

As in the FHS, vessel operators shall have the option of completing interviews through alternate reporting options. Currently, this only includes submission of completed logsheets to a toll-free fax number. However, NOAA Fisheries may choose to implement the online reporting tool for the LPTS at some point during this contract cycle. Procedures for conducting and accepting interviews through alternate reporting options are discussed in the Statement of Work for the For-Hire Survey and are included in this Statement of Work by reference.

### **6.2 Survey Instrument**

The contractor shall work with NOAA Fisheries to develop the questionnaires for the Private LPTS and LPTS Add-on. NOAA Fisheries will submit draft questionnaires to the contractor at least one month prior to the start of survey fielding. The contractor shall

review the questionnaire for content, format, question-flow, and CATI adaptability, and provide any recommended modifications to the NOAA Fisheries. Any questionnaire changes or modifications must be approved by NOAA Fisheries prior to implementation. Sample questionnaires for the Private LPTS and LPTS Add-on are included as Appendices H and I, respectively. Please note that the LPTS Add-on questionnaire consists of the FHS questions, plus additional LPTS-specific questions. FHS vessels that do not have a charter/headboat category HMS permit will NOT be asked LPTS-specific questions.

### **6.3 Data Collection Staff**

Requirements for data collection staff are described in the Statement of Work for the 2005-2007 For-Hire Survey, and are incorporated in this Statement of Work by reference.

### **6.4 LPTS Interviewer Training and Supervision**

Training and supervision requirements are provided for in the Statement of Work for the 2005-2007 For-Hire Survey, and are incorporated in this document by reference. The contractor shall develop an LPTS-specific training manual, which shall be provided to, and approved by NOAA Fisheries prior to interviewer training.

## **7. LPTS Data Preparation**

### **7.1 Data Entry**

The contractor shall use a CATI system for data entry during all LPTS telephone interviewing. The contractor shall be responsible for compiling data from all reporting modes into a single dataset.

### **7.2 Databases and Record Formats**

The Database formats for both the Private LPTS and LPTS Add-on shall be the same as the convention specified for the For-Hire Survey. LPTS Add-on data will be included as part of the FHS data. Specific variable names, formats, and codes for the Private LPTS and LPTS Add-on interview datasets are included as Appendix J. Please note that LPTS Add-on datasets consist of FHS variables, as well as LPTS-specific variables. NOAA Fisheries will supply variable codes and descriptions following award.

### **7.3 Data Editing**



Data editing procedures are provided for in the Statement of Work for the 2005-2007 For Hire Survey, and are incorporated in this document by reference. NOAA Fisheries will work with the contractor to develop error-checking programs.

## **8. Reporting Requirements**

### **8.1 Delivery of Datasets**

Private LPTS and LPTS Add-on interview datasets shall be transmitted to NOAA Fisheries as SAS transport (.xpt) files through electronic mail or password protected FTP site, according to the delivery schedule in Section F. Any changes to data previously submitted must be documented, including: the nature of, and reason for the change (e.g., key entry error, mis-coding, etc.), the original and corrected datum values, and associated variables from the trip record to allow for unique identification of the record within the data base. Documentation shall be delivered in spreadsheet format with revised data files.

### **8.2 Wave Reports**

The contractor shall produce bimonthly reports of survey activities and dialing results for both the Private LPTS and LPTS Add-on. Reports shall cover all sampling conducted within the appropriate two-month period (May-June (June only), July-August, and September-October), and shall be delivered to the NOAA Fisheries according to the delivery schedule in Section F. Sample wave report tables can be downloaded from: <ftp://cusk.nmfs.noaa.gov/mrfss/tmp/rfq/>.

Wave reports shall include but not necessarily be limited to the following:

- A. A complete accounting of all of the telephone numbers dialed, as well as of the dialing results for all vessels sampled as shown below:
  - 1. Numbers and percentages of invalid telephone number dialed (businesses, institutions, wrong number, etc.)
  - 2. Number and percentages of dialing efforts resulting in status of telephone number not determined:
    - i. No answer
    - ii. Busy signal
    - iii. Fax/Computer
    - iv. Wrong number
  - 3. Numbers and percentages of dialing efforts resulting in the contact of a vessel representative who was willing to cooperate:
    - i. Number and percent of vessels that did not fish
    - ii. Number and percent of vessels that fished, but not for large pelagic species

- iii. Number and percent of vessels that fished for large pelagic species
- iv. Number and percent of vessels that did not complete an interview due to:
  - 1. Refusal to cooperate
  - 2. Other (such as language barrier)
  - 3. Mid-interview refusal
- v. Number and percent of vessels that did complete an interview
- 4. Number and percent of vessels that caught large pelagic fishes during the weeks.
- 5. Number and percent of vessels that opted to terminate the interview without completing the catch information section.
- B. Average number of large pelagic fishing trips reported per sampling area per week.
- C. Recommendations and proposals for changes based upon survey fielding.

### **8.3 Annual Report**

An annual report that provides an overview of data collection procedures and results is required for each year of the contract. The annual report shall include, but is not limited to the following:

- 1. Annual summary of the tables provided in the wave reports,
- 2. Description of data collection procedures and results, including description of any changes throughout the sampling year,
- 3. Description of the coding and editing procedures,
- 4. Description of other quality control measures and procedures, such as silent monitoring and call-backs,
- 5. Listings of the LPTS edit checking programs, and
- 6. Listing of LPTS sample draw programs.

Other required deliverables (some mentioned previously in this SOW):

- 1. Electronic executables of all CATI versions of all questionnaires.
- 2. Electronic working copies of all data editing, quality control, and sample draw programs.
- 3. Hard copies and electronic files of all manuals, forms, and training presentations used in each year of the survey, including any revisions.
- 4. Any other specially-designed software developed for tracking of assignments, quota monitoring, etc; however, if widely available commercial software is used, only examples of that use would be required. If a web application is designed or modified, that application would need to be provided electronically.

5. Documentation of validated or edited records resulting from error checking routines.

## Tables

**Table 1. Private LPTS Sample Periods**

2005			2006			2007		
Date	FHS Week	Wave	Date	FHS Week	Wave	Date	FHS Week	Wave
May 30 - June 12	22	3	May 29 - June 11	22	3	May 28 - June 10	22	3
June 13 - June 26	24	3	June 12 - June 25	24	3	June 11 - June 24	24	3
June 27 - July 10	26	4	June 26 - July 9	26	4	June 25 - July 8	26	4
July 11 - July 24	28	4	July 10 - July 23	28	4	July 9 - July 22	28	4
July 25 - Aug 7	30	4	July 24 - Aug 6	30	4	July 23 - Aug 5	30	4
Aug 8 - Aug 21	32	4	Aug 7 - Aug 20	32	4	Aug 6 - Aug 19	32	4
Aug 22 - Sep 4	34	4	Aug 21 - Sep 3	34	4	Aug 20 - Sep 2	34	4
Sep 5 - Sep 18	36	5	Sep 4 - Sep 17	36	5	Sep 3 - Sep 16	36	5
Sep 19 - Oct 2	38	5	Sep 18 - Oct 1	38	5	Sep 17 - Sep 30	38	5
Oct 3 - Oct 16	40	5	Oct 2 - Oct 15	40	5	Oct 1 - Oct 14	40	5
Oct 17 - Oct 30	42	5	Oct 16 - Oct 29	42	5	Oct 15 - Oct 28	42	5

**Table 2. Private LPTS Estimated Sample Sizes**

<b>FHS Sample Week</b>	<b>VA</b>	<b>MD/DE</b>	<b>NJ</b>	<b>NY</b>	<b>CT/RI</b>	<b>MA</b>	<b>NH/ME</b>	<b>TOTAL</b>
22	75	140	100	80	75	80	80	630
24	75	140	100	80	75	80	80	630
26	75	140	100	80	75	80	80	630
28	75	140	100	80	75	80	80	630
30	75	140	100	80	75	80	80	630
32	75	140	100	80	75	80	80	630
34	75	140	100	80	75	80	80	630
36	75	140	100	80	75	80	80	630
38	75	140	100	80	75	80	80	630
40	75	140	100	80	75	80	80	630
42	75	140	100	80	75	80	80	630
<b>TOTAL=</b>	<b>825</b>	<b>1540</b>	<b>1100</b>	<b>880</b>	<b>825</b>	<b>880</b>	<b>880</b>	<b>6930</b>

**Table 3. LPTS Add-on Estimated Sample Sizes**

<b>FHS Sample Week</b>	<b>VA</b>	<b>MD</b>	<b>DE</b>	<b>NJ</b>	<b>NY</b>	<b>CT</b>	<b>RI</b>	<b>MA</b>	<b>NH</b>	<b>ME</b>	<b>TOTAL</b>
22	18	25	15	65	40	10	15	50	7	5	250
23	18	25	15	65	40	10	15	50	7	5	250
24	18	25	15	65	40	10	15	50	7	5	250
25	18	25	15	65	40	10	15	50	7	5	250
26	18	25	15	65	40	10	15	50	7	5	250
27	18	25	15	65	40	10	15	50	7	5	250
28	18	25	15	65	40	10	15	50	7	5	250
29	18	25	15	65	40	10	15	50	7	5	250
30	18	25	15	65	40	10	15	50	7	5	250
31	18	25	15	65	40	10	15	50	7	5	250
32	18	25	15	65	40	10	15	50	7	5	250
33	18	25	15	65	40	10	15	50	7	5	250
34	18	25	15	65	40	10	15	50	7	5	250
35	18	25	15	65	40	10	15	50	7	5	250
36	18	25	15	65	40	10	15	50	7	5	250
37	18	25	15	65	40	10	15	50	7	5	250
38	18	25	15	65	40	10	15	50	7	5	250
39	18	25	15	65	40	10	15	50	7	5	250
40	18	25	15	65	40	10	15	50	7	5	250
41	18	25	15	65	40	10	15	50	7	5	250
42	18	25	15	65	40	10	15	50	7	5	250
43	18	25	15	65	40	10	15	50	7	5	250
<b>TOTAL=</b>	396	550	330	1430	880	220	330	1100	154	110	5500

